

1765  
TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT  
(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

14952

In Re Application Of: Takeshi ARAI, et al.

MAY 22 2002

Serial No.  
09/937,272

Filing Date  
Sept. 24, 2001

Examiner  
Unassigned

Group Art Unit  
1765

Title: METHOD FOR CONTROLLING MELT AND METHOD FOR GROWING CRYSTAL

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Washington, D.C. 20231

37 CFR 1.97(b)

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application; within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office Action on the merits, whichever event occurs last.

37 CFR 1.97(c)

2.  The Information Disclosure Statement submitted herewith is being filed after three months of the filing of a national application, or the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or after the mailing date of a first Office Action on the merits, whichever occurred last but before the mailing date of either:

1. a Final Action under 37 CFR 1.113, or
2. a Notice of Allowance under 37 CFR 1.311,

whichever occurs first.

Also submitted herewith is:

a certification as specified in 37 CFR 1.97(e);

OR

the fee set forth in 37 CFR 1.17(p) for submission of an Information Disclosure Statement under 37 CFR 1.97(c).

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## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

14952

In Re Application Of: Takeshi AIZAWA, et al.

MAY 12 2002

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GROUP 170Serial No.  
09/937,272Filing Date  
Sept. 24, 2001Examiner  
UnassignedGroup Art Unit  
1765

Title: METHOD FOR CONTROLLING MELT AND METHOD FOR GROWING CRYSTAL

## Payment of Fee

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

A check in the amount of \_\_\_\_\_ is attached.

The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 19-1013/SSMP as described below. A duplicate copy of this sheet is enclosed.

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I certify that this document and fee is being deposited on May 10, 2002 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

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Michelle Mustafa

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\*This certificate may only be used if paying by deposit account.

/ / /

Signature

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Dated: May 10, 2002

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**Applicants:** Takeshi AZAMI, et al.

**Examiner:** Unassigned

**Serial No.:** 09/937,272

**Art Unit:** 1765

**Filed:** September 24, 2001

**Docket:** 14952

**For:** METHOD FOR CONTROLLING MELT  
AND METHOD FOR GROWING CRYSTAL

**Dated:** May 10, 2002

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**

Sir:

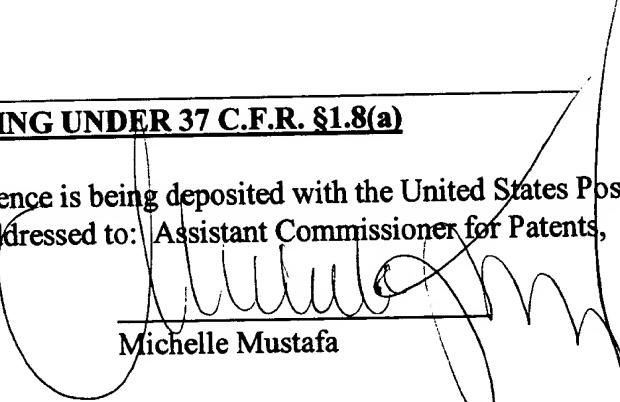
In accordance with 37 C.F.R. §§1.97 and 1.98, it is requested that the following references, which are also listed on the attached Form PTO-1449, be made of record in the above-identified case.

1. Japanese Laid-Open Publication No. 7-82075, dated March 28, 1995, together with English-language Abstract;
2. Z. Niu et al., "Effect of Oxygen and Temperature on the Surface Tension of Molten Silicon", Nippon Kesshou Seichou Gakkaishi, Vol. 24, No. 4, 1997, pp. 369-378;

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on May 10, 2002.

Dated: May 10, 2002

  
Michelle Mustafa

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3. Japanese Laid-Open Publication No. 8-259380, dated October 8, 1996, together with English-language Abstract;
4. T. Hibiya, et al., "Interfacial phenomena of Molten Silicon: Marangoni Flow and Surface Tension", Phil. Trans. R. Soc. Lond. A., Vol. 356, 1998, pp. 899-909; and
5. Japanese Laid-Open Publication No. 7-291783, dated November 7, 1995, together with English-language Abstract.

The references were cited in a Search Report received from the International Patent Office dated July 11, 2000. Applicants are submitting copies of the above-cited references, together with a copy of the Search Report. The relevance of the above-identified references has been described in the Search Report.

Inasmuch as this Information Disclosure Statement is being submitted in accordance with the schedule set out in 37 C.F.R. § 1.97(b), no statement or fee is required.

Respectfully submitted,

  
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INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)			Docket Number (Optional) 14952		Application Number 09/937,272	
			Applicant(s) Takeshi AZAMI, et al.		Filing Date Sept. 24, 2001	
					Group Art Unit 1765 (113)	
U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS
FILING DATE IF APPROPRIATE JUL 16 2003						
RECEIVED GROUP 100						
COPY OF PAPERS ORIGINALLY FILED						
FOREIGN PATENT DOCUMENTS						
REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation
						YES
Hib	7-82075	3/28/95	Japan			✓
Hib	8-259380	10/8/96	Japan			✓
Hib	7-291783	11/7/95	Japan			✓
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)						
Hib		Z. Niu et al., "Effect of Oxygen and Temperature on the Surface Tension of Molten Silicon", Nippon Kesshou Seichou Gakkaishi, Vol. 24, No. 4, 1997, pp. 369-378				
Hib		T. Hibiy, et al., "Interfacial Phenomena of Molten Silicon: Marangoni Flow and Surface Tension", Phil. Trans. R. Soc. Lond. A., Vol. 356, 1998, pp. 899-909				
EXAMINER Hib				DATE CONSIDERED 11-22-2002		

**EXAMINER:** Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.